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ABSTRACT

Intended for administrators of programs for the developmentally disabled, the guide presents a goal planning method for staff evaluation which stresses focusing on what the staff is doing right, setting reasonable expectations for staff, being clear about expectations, and concentrating on client behavior. The underlying idea of helping staff do a better job rather than just catching their mistakes is illustrated in cartoon form. Six goal planning review steps are outlined which include giving the staff feedback on their program; and a sample letter to staff introducing a goal planning review, a unit review form, and a client program review form are provided. (SB)

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ED119433

EVALUATING INDIVIDUALIZED GOAL PLANS

HOW to CATCH YOUR STAFF DOING SOMETHING RIGHT

U S DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
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EDUCATION

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THIS GOAL PLANNING IS A GOOD IDEA.
FRONT LINE STAFF REALLY LIKE IT. IT MAKES SENSE TO THEM AND IT GIVES THEM CREDIT FOR THE GOOD THINGS THEY'RE DOING WITH CLIENTS.

3

SOME STAFF HAVE BEEN DOING THESE THINGS SOMETIMES WITH SOME CLIENTS, BUT WITH GOAL PLANNING, THEY WILL DO THESE THINGS ALL THE TIME.
AT LAST WE'LL HAVE CONSISTENCY IN HOW WE WORK WITH CLIENTS!
RIGHT!
-Involving the client
-Using his strengths to help with his needs
-Using small steps
-Setting target dates and stating clearly what the client and staff will do.

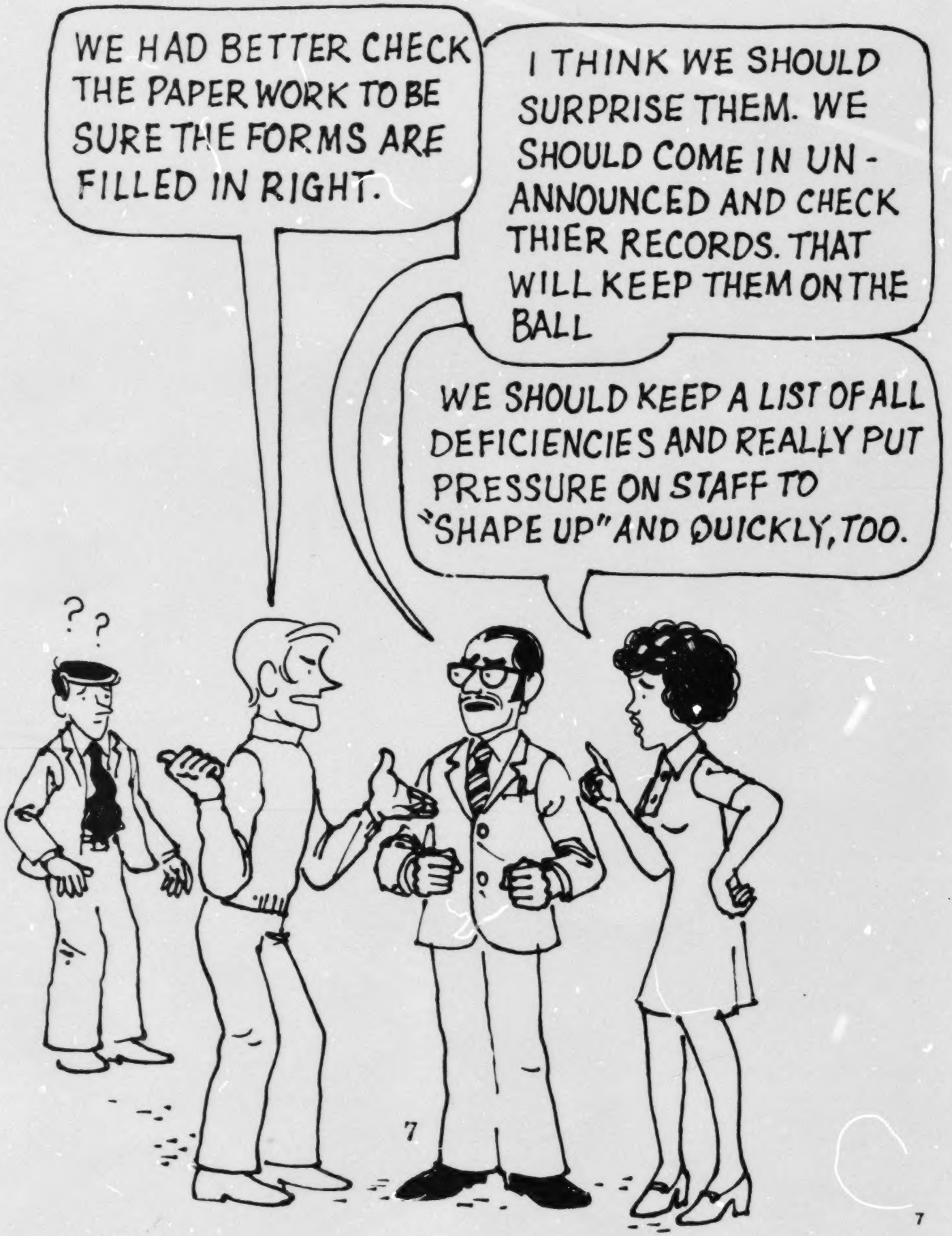
4

IT'S ONE THING TO GET GOAL PLANNING STARTED, BUT HOW ARE WE GOING TO KEEP IT GOING?
AFTER A WHILE, THE INITIAL ENTHUSIASM WILL WEAR OFF.
I BET PEOPLE WILL GET SLOPPY AND FORGET SOME OF THE RULES.
THEY'LL SLIP BACK INTO "PUTTING OUT FIRES" INSTEAD OF PLANNING AHEAD!

5

IT WILL BECOME JUST ANOTHER KIND OF PAPERWORK!
THIS IS TERRIBLE! WE'VE GOT TO DO SOMETHING ABOUT THIS!
?
I THINK WE'D BETTER SET UP A SYSTEM TO CHECK HOW GOAL PLANNING IS BEING DONE AT OUR FACILITY.
GOOD IDEA. ANYBODY HAVE ANY SUGGESTIONS?

6


WE HAD BETTER CHECK THE PAPER WORK TO BE SURE THE FORMS ARE FILLED IN RIGHT.
I THINK WE SHOULD SURPRISE THEM. WE SHOULD COME IN UN-ANNOUNCED AND CHECK THIER RECORDS. THAT WILL KEEP THEM ON THE BALL
WE SHOULD KEEP A LIST OF ALL DEFICIENCIES AND REALLY PUT PRESSURE ON STAFF TO "SHAPE UP" AND QUICKLY, TOO.
??
7

RIGHT, IF STAFF AREN'T DOING THEIR JOB, WE WANT TO KNOW WHY.
GOAL PLANNING IS TOO IMPORTANT TO LET IT SLIP AWAY!

8

SAY FRED, YOU'VE HAD A LOT OF EXPERIENCE WITH GOAL PLANNING, WHAT DO YOU THINK?
STOP! YOU'LL KILL GOAL PLANNING INSTEAD OF SAVING IT!
?

WHY?
YOU'RE GOING TO LOSE THE COOPERATION OF FRONT LINE STAFF. THEY'RE THE PEOPLE WHO MAKE GOAL PLANNING WORK! THEY KNOW THE CLIENTS, THEY DEVELOP PLANS AND CARRY THEM OUT. IF WE LOSE THEM, GOAL PLANNING ISN'T GOING TO WORK.
BUT HOW WOULD WE LOSE THEM? WE ONLY WANTED TO CHECK UP ON WHAT THEY'RE DOING.

10

YOU WERE PRIMARILY LOOKING FOR DEFICIENCIES. YOU WERE LOOKING FOR WHAT THE STAFF WERE DOING WRONG.
OH, I SEE. THIS WOULD MAKE THEM DEFENSIVE. THEY WOULD JUST TRY TO PROTECT THEMSELVES INSTEAD OF SHOWING US WHAT IS REALLY GOING ON.

11

RIGHT! REMEMBER, IN GOAL PLANNING WE USE THE CLIENTS' STRENGTHS: WE FOCUS ON WHAT THEY'RE DOING RIGHT.

SO IF WE WANT TO HELP STAFF TO DO GOAL PLANNING, WE SHOULD EMPHASIZE WHAT THEY'RE DOING RIGHT.
YOU'VE GOT IT!!

12

THIS SOUNDS LIKE WE'RE GOAL PLANNING WITH STAFF JUST LIKE THEY'RE GOAL PLANNING WITH CLIENTS.
THAT'S RIGHT.

THEN I SUPPOSE WE SHOULD ALSO SET GOALS WITH THE STAFF.
YES-AND BE SURE YOU DO THIS WITH THE STAFF. WE SHOULD INVOLVE THE STAFF JUST AS THEY INVOLVE THEIR CLIENTS.
YOU AND THE FRONT LINE STAFF SHOULD AGREE ON WHAT IS TO BE REVIEWED AND, AFTER THE REVIEW, YOU SHOULD AGREE ON WHAT ARE REASONABLE STEPS TO IMPROVE THINGS.

14

I GUESS WE SHOULD ALSO SPELL THINGS OUT CLEARLY SO THAT EVERY-ONE KNOWS WHAT TO EXPECT.
YES, AND DO THIS BEFORE THE RE-VIEW SO THAT THEY HAVE ENOUGH TIME TO PREPARE.

15

IN OTHER WORDS, MAKE THE GOALS REASONABLE FOR STAFF JUST LIKE WE DO FOR CLIENTS.
RIGHT!

16

THIS LOOKS GOOD TO US. IS THERE ANY-THING ELSE?
YES. ONE MORE THING. YOUR RE-VIEW SHOULD FOCUS ON WHAT IS HAPPENING TO CLIENTS- NOT JUST PAPERWORK.

17

IF WE'RE GOING TO FIND OUT WHAT'S REALLY GOING IN GOAL PLANNING, WE SHOULD TALK WITH CLIENTS AND THE PEOPLE WHO WORK DIRECTLY WITH THEM.
THAT MAKES GOOD SENSE. THE PAPER-WORK IS SECONDARY TO WHAT IS HAPPEN-ING WITH CLIENTS.

18

I THINK I'D ENJOY BEING RE-VIEWED THIS WAY. PEOPLE WILL NOTICE WHAT I'M ACCOMPLISH-ING FOR A CHANGE.

19

20

FOCUS ON WHAT THE STAFF ARE DOING RIGHT

Catch them doing something right instead of just looking for problems. Then they will be open with you about what's really going on. By looking at what they are doing right, you will support the work they are putting into goal planning.

21

SET REASONABLE EXPECTATIONS FOR STAFF.

Let them know far enough in advance so that they can reasonably prepare. It may be that only a certain percent of clients will have individualized goal plans at the review date. This is fine. It's better to have a smaller number of well prepared programs than a lot of poor ones. The best thing to do is to agree, ahead of time, on the number of client programs which can reasonably be ready for review at a certain date. Then this number can be expanded, in reasonable steps, with subsequent reviews.

When the review is completed, we should also set reasonable goals for what will be done by the time of the next review. The staff and the reviewers should agree on what is reasonable.

BE CLEAR ABOUT WHAT YOU EXPECT.

Staff should receive a copy of the review procedures ahead of time. They should know exactly what to expect when you arrive. Then you should follow these procedures carefully.

Before you leave, the staff should know exactly what will be said to others about their program. It is best to write your report with the staff present.

Much of the fear of reviews comes from uncertainty about what to expect. When staff know what to expect, they can prepare effectively and will see the review as a chance to show off how well they have done.

23

FOCUS ON CLIENT BEHAVIOR.

The purpose of goal planning is to help clients change. Therefore our review should focus on the client. Talk to him and to the persons working directly with him. Have the client show you what he has accomplished.

Don't just look at the paperwork. The paperwork should help you to understand the client and what is being done with him. But the real purpose of the review is to see what is actually happening with clients. The paperwork is just a means to this end.

24

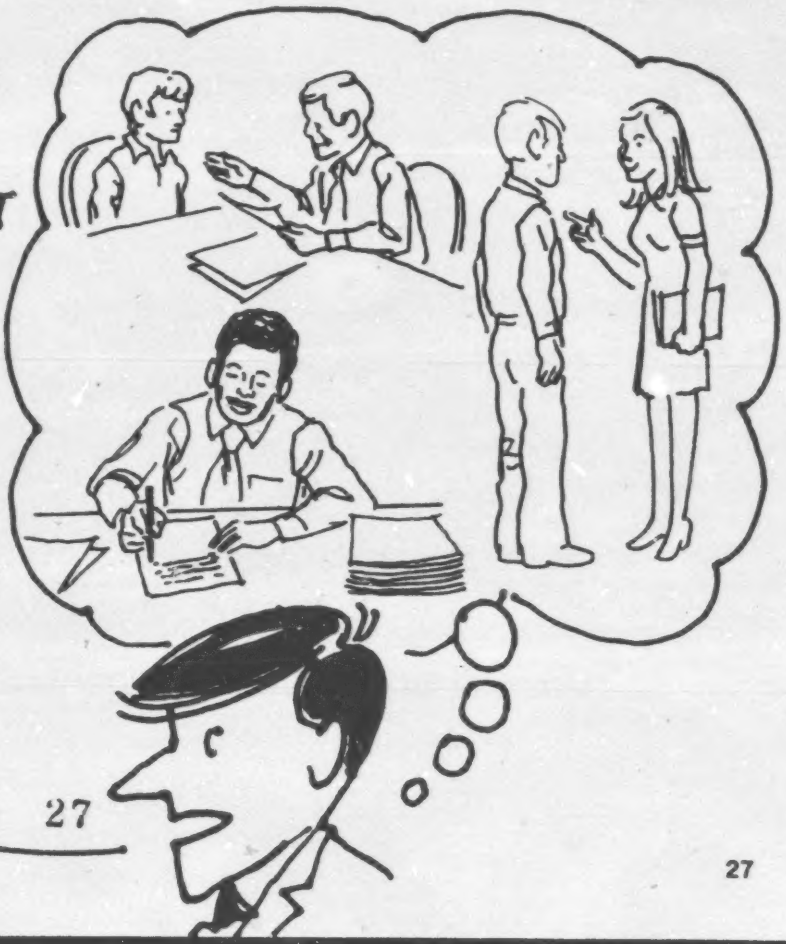
25

WE SEE WHAT YOU'RE SAYING NOW!
YEAH, WE KNOW SOME PEOPLE WHO WOULD OBJECT.
YOU'VE GOT SOME GOOD IDEAS, BUT WE'RE NOT SURE HOW PRACTICAL THEY ARE.
GOOD, LET'S LOOK AT THEIR ARGUMENTS.

26

FOCUSING ON MISTAKES KEEPS STAFF ON THEIR TOES. IF THEY'RE NOT AFRAID OF LOSING THEIR JOBS, THEY WON'T WORK

ARE YOU SURE THAT'S REALLY TRUE? PEOPLE USUALLY WORK HARDEST WHEN THEY ARE WORKING FOR SOMETHING THEY BELIEVE IN. GOAL PLANNING GIVES THEM CREDIT FOR WHAT THEY ACCOMPLISH WITH CLIENTS. THIS IS POSITIVE MOTIVATION WHICH IS MORE EFFECTIVE THAN FEAR OR PUNISHMENT.



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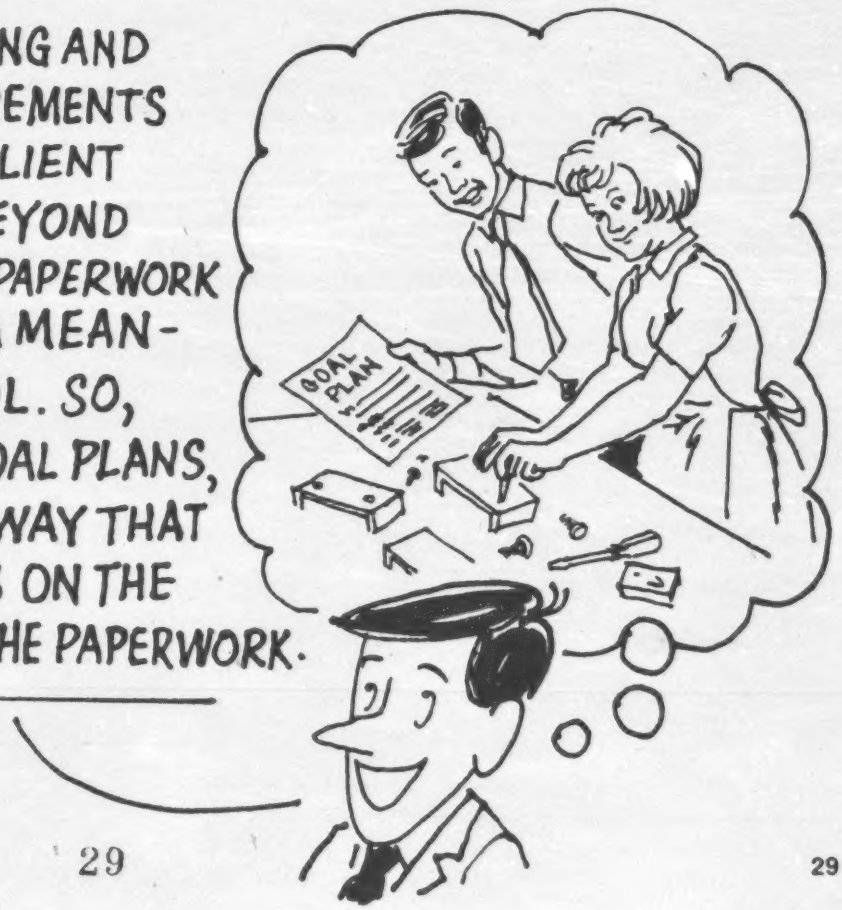
OTHER PEOPLE ONLY NOTICE OUR MISTAKES, SO WE HAVE TO PROTECT OURSELVES BY KEEPING AFTER THE FRONT LINE STAFF WHEN THEY MAKE MISTAKES.

MOST PEOPLE ARE HAPPY TO SEE POSITIVE ACCOMPLISHMENTS, BUT YOU HAVE TO TAKE THE INITIATIVE TO SHOW THEM. IT USED TO BE THAT CLIENT PLANS WERE SO VAGUE THAT WE COULDN'T SHOW WHAT WE WERE ACCOMPLISHING WITH CLIENTS. BUT WITH GOAL PLANNING WE HAVE CLEAR EVIDENCE OF OUR ACHIEVEMENTS AND WE SHOULD USE THIS TO SHOW OTHERS THE POSITIVE SIDE OF WHAT OUR STAFF DO.

FUNDING AND ACCREDITATION REQUIREMENTS ONLY CARE ABOUT PAPERWORK. TO GET FUNDED ALL WE NEED TO DO IS MAKE THE PAPERS LOOK RIGHT.

GOAL PLANS MEET FUNDING AND ACCREDITATION REQUIREMENTS FOR INDIVIDUALIZED CLIENT PLANS. BUT THEY GO BEYOND THAT TOO. THEY MAKE PAPERWORK REQUIREMENTS INTO A MEANINGFUL CLINCAL TOOL. SO, WHEN YOU REVIEW GOAL PLANS, BE SURE TO DO IT IN A WAY THAT KEEPS THE EMPHASIS ON THE CLIENT AND NOT JUST THE PAPERWORK.



29

O.K. YOU'VE PERSUADED US! THIS ISN'T THE WAY THINGS ARE USUALLY DONE, BUT WE'D LIKE TO TRY IT.
IMAGINE, A REVIEW SYSTEM THAT HELPS STAFF DO A BETTER JOB INSTEAD OF JUST CATCHING THEIR MISTAKES!
CAN YOU SHOW US EXACTLY HOW YOU'D GO ABOUT THIS?

30

GOAL PLANNING REVIEW STEPS

31

FIRST: Make expectations clear in advance.

1) Announce, at a reasonable time in advance, when the review will be done.

2) Explain exactly what will happen during the review. Give the staff a copy of the forms you will use in writing up the review.

3) Answer any questions staff may have about the review procedure.

4) Agree on how many clients' programs can reasonably be ready for review by the date chosen. This should be a mutual decision between the reviewer and the staff being reviewed. This should be a realistic goal which allows for quality as well as quantity.

5) Be on time and adhere closely to the procedures that were announced in advance.

SECOND: Randomly select clients to be reviewed.

1) At least two clients should be selected per unit and allow 30 minutes per client selected.

2) From the pool of clients that was agreed would be ready for review, randomly select those clients you are going to review.

3) In addition to those you have chosen, you should allow the staff to select a client of whom they are especially proud so they will have an opportunity to show some of their best work.

THIRD: Review the clients' records to understand their backgrounds, what has been accomplished to date and what staff are trying to accomplish.

In reviewing the records, the following questions should be asked:

a. Is the background data adequate? Requirements for background data will vary from facility to facility, but your concern should be in whether you have enough information to judge the appropriateness of the goals chosen. A strength-need list is essential for effective goal planning.

b. Are there goal plans for each client? The number of goals per client will vary with each facility. In general, it is better to have fewer goals that are being seriously carried out than many goals that are only superficially attended to.

c. Is the language clear in the plans? Was behavioral language used in describing the goals? Was client behavior in the goal section and staff behavior in the method section? Were specific staff named as responsible for each method?

d. Are there target dates for each goal? It is desirable, but not necessary to have target dates for all steps in the goal plan. It is essential that there be a target date for the step being worked on now.

FOURTH: Interview the client and staff working directly with him.

You should see first hand what is happening with the client. To do this you need to see him, talk with him, and talk with the front line staff who work with him on a day to day basis. In this interview you should determine:

1) Was the client maximally involved? Did he participate in choosing goals, was he given choice in the plans, were the plans explained to him? If the client could not actively participate, did the staff include his likes and wants in the plan?

2) Are the goals meaningful for the client? The staff working with the client are in the best position to judge this. If you are experienced in working with similar clients, you may have some suggestions for them to consider. However, the final decision is always up to the people working directly with the client.

3) Do the written plans accurately reflect the client's program?

35

FIFTH: Give the staff feedback on their program emphasizing their positive accomplishments.

Always begin feedback by reviewing what is good about their program. This should be part of the written report. It should be clear that a large percentage of what is being done is being done well. If possible, staff should feel that the review was a chance for them to show off what good work they are doing with clients. We find it helpful to make up a staff strength-need list just as we do with clients.

36

SIXTH: Arrive at a consensus with the staff on any improvements to be made and when they will be made.

It is important that proposed changes be accepted by both the staff and the reviewer. Together, you should agree on a series of feasible target dates for accomplishing these changes. The staff being reviewed should have the opportunity to put their views on the evaluation form.

If only part of the clients have goal plans, you and the staff should also agree on reasonable target dates for increasing the number of clients with goal plans.

37

SEVENTH: Be sure that staff are clear on all aspects of the review and on what will be done with the review.

All writing should be completed before leaving the area. A copy of the report should be left with the staff. Be sure that all their questions are answered and be sure they understand what will happen following the review. If possible, the next review date should be set before leaving.

38

O.K. THIS LOOKS CLEAR TO US. DO YOU HAVE ANY FORMS THAT YOU SUGGEST USING IN THIS REVIEW?
SURE. HERE ARE SOME FORMS THAT HAVE BEEN USED IN A NUMBER OF FACILITIES. YOU SHOULD FEEL FREE TO ADAPT THESE TO YOUR SETTING.

SAMPLE LETTER INTRODUCING GOAL PLANNING REVIEW

Dear

There will be a review of individualized goal plans on your unit on (date) . The reviewers (name or names) will be at your location at (time) . As agreed previously (number) of your clients' plans will be available for review at that time.

This review is primarily aimed at recognizing your staff's positive accomplishments with clients. The reviewers will want to interview several of your clients who have goal plans. They will also want to talk to the front line staff working directly with those clients. The reviewers will want to look at the records you have for those clients to obtain background and to be sure that you are recording programs to show your achievements. Clients will be chosen randomly for review. In addition, you can designate one client to be included in the review.

Your staff will have an opportunity to express their views about the goal plans and these will be recorded as part of the review. At the end of the review you and the reviewer will jointly agree on any unit goals to improve or expand the goal planning program.

Copies of the procedures and forms to be used in this review are attached. If you have any questions about the review, please contact me at (telephone number)

Sincerely,

Enclosures (2)

Form A — Unit Review Form

Form B — Individualized Client Review Form

39

UNIT REVIEW FORM

FORM A

UNIT BEING REVIEWED: _____

DATE OF REVIEW: _____

REVIEWERS: _____

Did all unit staff understand the purposes and procedures of this review? Did supervisory staff orient all unit staff members? Was it clear that the primary purpose is to recognize the accomplishments of front-line staff in their work with clients?

Comments:

UNIT CENSUS:

Total number of clients on unit _____

Number of clients on one or more active goal plans _____

Total number of active goal plans _____

Names of clients randomly selected for review of one active goal plan.

Name of client nominated by unit staff for review of one active goal plan.

FORM A

GENERAL COMMENTS ABOUT INDIVIDUALIZED GOAL PLANS REVIEWED:

STAFF STRENGTHS (What was done right and what was done especially well)	STAFF NEEDS (State needs positively—what staff could do to improve goal planning)

Next review date: _____

Unit goals for next review:

Number of clients expected to be on active goal plans by next review _____

COMMENTS ON REVIEW BY UNIT STAFF:

Signatures: _____ _____
Unit Staff Member Reviewer

41

CLIENT PROGRAM REVIEW FORM

(To be filled out for each client reviewed)

FORM B

UNIT: _____

DATE: _____

REVIEWER: _____

CLIENT'S NAME: _____

STAFF INVOLVED IN CLIENT PLANS: _____

(circle names interviewed)

1) Is background data (including strength-need list) adequate to understand the client's program?

Comments:

2) Are goal plans completed and clearly filled out?

a) Clear language Yes_____ No_____

b) Goals stated in terms of client behavior Yes_____ No_____

c) Staff responsibilities clearly stated and responsible staff named Yes_____ No_____

d) Target dates for current steps in goal plans Yes_____ No_____

Comments:

FORM B

3) Conclusions from client and staff interview.

a) Was the client maximally involved? (Did he participate in choosing the goals, was he given choice in the plans, were the plans explained to him?) If the client could not actively participate, did the staff include his likes and wants in the plan?

Comments:

b) Were the steps spaced at reasonable time intervals?

Comments:

c) Do you have any suggestions about the goals or methods for staff to consider?

4) Comments by staff working with client.

Signatures: _____ _____
Staff Member Reviewer

WE'RE OFF TO SEE
IF WE CAN CATCH
SOMEONE DOING
SOMETHING RIGHT!